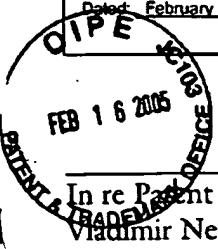


I hereby certify that this correspondence is being deposited with the U.S. Postal Service as Express Mail, Airbill No. EV 262739285 US, in an envelope addressed to: MS RCE, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on the date shown below.

Dated: February 16, 2005 Signature: *Joseph W. Rague*  
(Joseph W. Rague)

fee due day held by claim

Docket No.: E3331.0514/P514  
(PATENT)



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of:  
~~TRADEMARK~~  
Vladimir Neyman, et al.

Application No.: 09/603,389

Group Art Unit: 3624

Filed: June 23, 2000

Examiner: S. Wasylchak

For: COMPOUND ORDER HANDLING IN AN  
ANONYMOUS TRADING SYSTEM

AMENDMENT/SUBMISSION

MS RCE  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

**INTRODUCTORY COMMENTS**

Before issuance of the next Office Action in the above-identified application, in which a Request for Continued Prosecution is being filed herewith, please amend the above-identified U.S. patent application as follows:

02/24/2005 SWILLIAM 00000001 502215 09603389  
01 FC:1203 260.00 DA

**FEE CALCULATION**

Any additional fee required has been calculated as follows:

|   | Claims Remaining After | Highest Number Previously | Number Extra Claims | Rate     | Additional Fee    |
|---|------------------------|---------------------------|---------------------|----------|-------------------|
| Total   | 50                     | - 67* =                   | 0                   | X 50.00  | 0.00              |
| Independent   | 10                     | - 11** =                  | 0                   | X 200.00 | 0.00              |
| First presentation of Multiple Dependent Claim(s) (if applicable) |                        |                           |                     |          |                   |
|   |                        |                           |                     |          | <b>TOTAL</b> 0.00 |

\*not less than 20

\*\* not less than 3

No additional fee is required.

In the event a fee is required or if any additional fee during the prosecution of this application is not paid, the Patent Office is authorized to charge any underpayment or credit any overpayment to Deposit Account No. 50-2215.

**CONTINGENT EXTENSION REQUEST**

If this communication is filed after the shortened statutory time period had elapsed and no separate Petition is enclosed, the Commissioner of Patents and Trademarks is petitioned, under 37 CFR 1.136(a), to extend the time for filing a response to the outstanding Office Action by the number of months which will avoid abandonment under 37 CFR 1.135. The fee under 37 CFR 1.17 should be charged to our Deposit Account No. 50-2215.

broker only if it can be executed for the full quantity specified. In such an order, the customer will not accept a partial execution of the order, say, 300 shares out of an order for 1000.

AON refers to a single order. It does not refer to a block or linked trade such as the joint execution order of the present invention. A joint execution order as recited is two or more orders that are linked together as described above. There is no teaching or suggestion in any of the prior art, including Hawkins, of the features related to the recited joint execution order. For at least this reason, the amended independent claims are believed patentable over the prior art.

In the interview, primary Examiner Patel expressed concerns regarding claim 37, namely that the means for matching and executing was not functionally related to the other limitations of the claim. It is believed that the amendments to claim 37 address and obviate this issue.

The other claims in this application are each dependent from one or another of the independent claims discussed above and are therefore believed patentable for the same reasons. Since each dependent claim is also deemed to define an additional aspect of the invention, however, the individual reconsideration of the patentability of each on its own merits is respectfully requested.

In view of the above, each of the presently pending claims in this application is believed to be in immediate condition for allowance. According, the Examiner is respectfully requested to pass this application to issue.

Dated: February 16, 2005

Respectfully submitted,

By Joseph W. Ragusa  
Joseph W. Ragusa  
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